Account No. 賬戶號碼	

Account Name 賬戶名稱 _____



Securities Cash Trading

證券現金交易

Corporate Client

公司客戶

Client Information Form – Corporate Account 客戶資料表格 – 公司賬戶

Company Information 公司資料								
Name of Compan	y (Eng	lish and Chines	ie) 公司名稱	勇 (英文及中	"文)			
Account Name (if	differe	nt from "Compa	any Name")	賬戶名稱(如有別於公司名稱)			
Business Registra 香港商業登記號碼		o. in Hong Kon	g		Date and Countr 註冊日期及國家	y of Incorp	ooration	
Certificate of Inco 註冊成立證書號碼	•	on No.			Nature of Busine 業務性質	ess		
Address of Regist	ered C	office in Country	of Incorpor	ration 在成	立國家之註冊地址			
Flat, Floor, Buildin 單位, 樓層, 大廈	ng 		Ţ		Estate, Street 屋苑, 街道	·T······		
District 地區			City 城市			Country 國家		
Correspondence A	Addres	s (if different fro	om Register	ed Office A	ddress) 通訊地址(如有別於討	注册地址)	
Flat, Floor, Buildir 單位, 樓層, 大廈	ng				Estate, Street 屋苑, 街道			
District			City			Country		
地區 Business Phone N	lo.	Fax No.	城市	Contact P	erson	國家 Contact	Person Phon	ne No.
辦事處電話		傳真號碼		聯絡人		聯絡人電		
Email Address 電郵地址							lo. for receivi 主驗證碼電話	ng 2FA
Select your langu	age 選	擇語言		□繁體	□ 簡縎	典豆	☐ Englis	h
☐ Post 郵寄 (Po ☐ Email 電郵	st to Co	rrespondence Add	ress with fee o	of \$50 per sta	nents) 通訊方式 (用 tement + postage) (郵春		•	幣50元正,另加郵費)
Bank Details 釗	T						I	
Currency 貨幣	Nam	e of Bank 銀行	了名稱	Accoun	t Name 賬戶名稱		Account N	o. 賬戶號碼
HKD 港元								
CNY 人民幣 USD 美金								
>\								
Corporate Struc	cture	公司結構						
Particular of major	share	holders whose	shareholdin	g is 10% or	above (Not applica	ble to Pub	lic Listed Cor	mpanies)
持有百分之十或以	上股權	的主要股東資料	4 (上市公司	除外)				
Name(s) of SI 股東名稱	<u>hareho</u>	<u>lder</u>	Address 地址					<u>% of Shareholding</u> <u>所持股份</u>
1.								
					separate sheet. 如			
	CIII 508	-c- 10 COHORE	. vicase co	minue on a	SEDALATE SHEEL. VIII	ー T// / ト 署X 期	5月17日 7日 1月18	11 JH. 75 ° 1

Corporate/R/20240316 1

Corporate Structure 公司結構							
Particular of Directors of the Company 公司董事資料							
Name(s) of Directors 董事名稱 Address 地址							
1							
2.							
(If there is insufficient space to complete, please continue on a separate sheet. 如空位不敷應用,請另加紙填寫。)							
Authorized Person(s) 獲授權人							
The following person(s) is/are authorized on behalf of the Company to give written and /or oral instructions in relation to the							
trading of the account							
本公司授權以下人士以書面和 / 或口頭指示在本賬戶進行交易事宜							
HKID No. / Passport No. and							
Name (English and Chinese) Country of Issue 香港身份證 Contact Phone Number Specimen Signature							
<u>姓名 (英文及中文)</u> 號碼 / 護照號碼及簽發國家 聯絡電話號碼 授權簽名式樣							
1							
2							
3							
(If there is insufficient space to complete, please continue on a separate sheet. 如空位不敷應用,請另加紙填寫。)							
Please attach a Letter of Authorization and an Information Statement of the Authorized Person for each of the Authorized							
Person(s) mentioned above. 請就上述每位獲授權人附上授權書及獲授權人資料表。							
In order to comply with Section 5.1 (a) of Code of Conduct for Persons Licensed by or Registered with the Securities							
and Futures Commission, please complete the following question							
請提供以下資料以便遵守證券及期貨事務監察委員會持牌人或註冊人操守準則之第5.1(a)項要求							
1. Financial Background of the Company 公司財務狀況							
i) Paid-up Capital 繳足資本:							
a) No. of issued share capital 已發行股份數目							
b) 每股/each share							
ii) Net Asset Value (in HK\$) 資產淨值 (以港幣計算)							
□ ≤ \$10,000,000 □ > \$10,000,000 - \$20,000,000 □ > \$20,000,000 - \$40,000,000 □ > \$40,000,000							
 iii) Any Latest Financial Accounts Record provided?有否提供最近的財務賬目記錄?							
」 Yes 有 □ No 沒有							
2. Investment Objectives & Experience 投資目標及經驗							
i) Investment Objectives 投資目標							
□ Dividend Income 股息收入 □ Capital Appreciation 資本增值 □ Hedging 對沖							
□ Speculation 投機 □ Others (Please specify) 其他 (請說明):							
 ii) Investment Experience 投資經驗							
□ Securities 證券 (Year(s) 年資:) □ Futures & Options 期貨及期權 (Year(s) 年資:)							
□ Callable Bull / Bear Contracts (CBBC) 牛熊證(Year(s) 年資:) □ Bonds 債券(Year(s) 年資:)							
□ Derivative Warrants 衍生權證 (窩輪) (Year(s) 年資:) □ Funds 基金 (Year(s) 年資:)							
□ Exchange Traded Funds (ETF) 交易所買賣基金 (Year(s) 年資:)							
□ Others (Please specify) 其他 (請說明) (Year(s) 年資:)							

3. RISK Tolerance and Client Investment Interest 可承受風險及各戶投資意同					
Risk Tolerance 可承受風 (只填選一項 one item onl					
☐ Aggressive 高	□ Derivative Warrants/ Callable Bull/Bear Contracts 衍生權證(窩輪) /牛熊證 □ Exchange Traded Funds (ETF) / Trust 交易所買賣基金/信托基金 □ Shanghai Connect Stock 滬股通股票 (請附上中華通北向交易個人資料收集聲明同意書) □ Shenzhen Connect Stock 深股通股票 (請附上中華通北向交易個人資料收集聲明同意書) □ Grey Market 暗盤市場 (請附上暗盤下單條款同意書) □ GEM ☑ Main Board 主板				
□ Moderate 中	□ ETF / Trust 交易所買賣基金/信托基金 □ GEM ☑ Main Board 主板				
☐ Conservative 低	☑ Main Board 主板				
Client's Knowledge	of Derivatives and Trading Experience 客戶對衍生工具產品的認識及投資經驗				
	ative products are as followed: 對衍生產品的認識如下:				
	ture and risks of derivative products by: 本人經以下途徑了解衍生產品的性質和風險:				
_	ne training or attended courses on derivative products (Please provide certificate or related supporting 已接受有關介紹一般衍生產品之性質及風險的培訓或課程 (請提供證書或相關之證明文件)				
Name of Course	s / Seminars 課程 / 研討會名稱:				
Organizer 主辦榜	機構: Yr of Participation 参與年份:				
	previous work experience related to derivative products (Please provide job proof: reference letter or name 時擁有或過去曾擁有與衍生產品有關之工作經驗(請提供工作證明文件,如推薦信,卡片等)				
Name of employ	er 公司名稱:Position 職位:				
	five or more transactions in derivative products within the past three years 本人曾於過去三年內曾執 有關衍生產品之交易				
Product(s) inves	ted 曾交易產品: CBBC 牛熊證 Derivative Warrants 衍生權證(窩輪) ETF 交易所買賣基金				
	□ Others 其他:				
☐ I do NOT have any k	nowledge of derivative products. 本人對衍生產品 沒有 認識。				
Assessment Result	□ With knowledge of derivatives 對衍生產品有認識				
(For Official Use Only) 評估結果 (只供本公司使用)	 □ Without knowledge of derivatives 對衍生產品沒有認識 □ Client has fully understood the relevant risks of the derivative product(s) enclosed herewith and wish to trade derivative product(s) 客戶已明白衍生產品所附帶的相關風險,並有意進行衍生產品交易 				
ldentity of Persons L 最終負責發出交易指示	JItimately Responsible for Originating the Instructions in relation to a Transaction 长人士的身份				
Details of the person wh 最終負責發出交易指示人	o is ultimately responsible for originating the instructions in relation to a transaction are as below: 土資料如下:				
Name 姓名	HKID/Passport No. 香港身份證/護照號碼				
Address 地址 Occupation 職業					
Relationship between the Account Holder(s) and the person who is ultimately responsible for originating the instructions in					
relation to a transaction 賬戶持有人與最終負責發出交易指示人士之關係					
Identity of Ultimate E	Beneficial Owner(s) of the Account 賬戶最終實益擁有人身份				
	owner(s) who stand(s) to gain the commercial or economic benefit of the transaction and/or bear its risk 將會從交易取得商業或經濟利益及/或承擔其商業或經濟風險之最終實益擁有人				
Name 姓名	HKID/Passport No. 香港身份證/護照號碼				
Address 地址 Occupation 職業					
Relationship between the Account Holder(s) and the ultimate beneficial owner					
賬戶持有人與最終實益擁	香 有人之關係				

ultimately responsible for giving instru	ctions for the Account(s) or the ultimate 、客戶的獲授權人、最終負責就賬戶發出指	beneficial owner(s) of the Account(s)					
	tor, an employee or a representative of an 目 關人士 」是否為《證券及期貨條例》之下任	•					
☐ Yes*, please specify the name of the Name of the intermediary 中介人名	□ Yes*, please specify the name of the Relevant Person 是*,請列出相關人士的名稱						
Position held at intermediary 在中	· · · · ·						
(*Please attach a consent letter of account opening from the intermediary. 請附上該中介人發出之開戶同意書。) 2. Is any of the Relevant Person, a relative of any employee of Aristo Securities Limited?							
$\ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ $	e Relevant Person 是,請列出相關人士的和	名稱					
	該職員名稱						
	我員之關係						
-							
	e Relevant Person 是,請列出相關人士的名	7 和					
	a Relevant Felson 走,謂列山相關八工的名 指稱及代號	•					
	上市公司擔任的職位						
 4. Is any of the Relevant Person and/or your spouse, partner, child, parent, spouse or partner of your child, or your close associate entrusted or has been entrusted with a prominent public function, which includes a head of state, head of government, judicial or military official, and an important political party official? 客戶的任何「相關人士」或/及其之配偶、伴侶、子女、父母、子女的配偶或伴侶或與閣下關係密切的人,是否擔任或曾擔任重要公職,包括國家元首、政府首長、及重要政黨幹事? □ No 否 □ Yes, please specify the name of the Relevant Person 是, 請列出相關人士的名稱							
5. Is any of the Relevant Person, a Citizen of the UNITED STATES?							
客戶的任何「相關人士」是否為美國公民 ?							
□ No 否							
☐ Yes, please specify the name of the Relevant Person 是,請列出相關人士的名稱							
Electronic Securities Trading Execu	ution 電子證券交易執行指示						
(For Electronic Securities Trading Service Account Application(s) Only 只適用於使用電子證券交易申請者填寫) □ Cash Account 現金賬戶 □ Electronic Securities Trading Service 電子證券買賣服務 □ We declare that we want to use the Electronic Securities Trading Service. We have read, understand and accepted the provisions of the Electronic Securities Trading Agreement as set out in the Standard Terms and Conditions of Aristo Securities Limited and we agree to be bound by the same. 本公司聲明欲使用電子證券交易服務,本公司已經閱讀,明白並接受雅利多證券有限公司標準章則中,所載之《電子證券交易協議書》的條款,並同意這些條款的約束。							
For Official Use Only 此部份由本公司填寫							
Declaration by Staff 職員聲明 I, the undersigned, have provided the Client Account Agreement and Risk Disclosure Statements in a language of the Client's choice and have fully explained the contents of which to the Client. I have invited the Client to read the Risk Disclosure Statements (including any additional risk disclosure statements), ask questions and seek independent advice if the Client wishes.							
Staff Name 職員姓名	Signature 簽署	CE No. 中央編號					
Name of AE 客戶主任姓名	Brokerage 佣金	Trading Limit 交易限額					
Input By 文件輸入	Checked by 文件查核	Approved by 批准					

Disclosure of Identity 身份披露

SIGNATURE AND ACKNOWLEDGEMENT

簽署及確認

I/We declare and acknowledge that 本人/吾等聲明及承認:

- 1. I/We confirm that all information written on the Client Information Form is true, complete and correct, and that your company is entitled to rely fully on such information and representations for all purposes, unless you receive notice in writing of any change. You are authorized at any time to contact anyone, including my banks, brokers or any credit agency, for purposes of verifying the information provided in this application. 本人/吾等確認客戶資料表所載之資料乃真實、完整及正確,除非 貴公司接獲關於任何變更的書面通知,否則 貴公司有權就一切目的全面信賴該等資料及聲明。 貴公司獲授權隨時聯絡任何人士,包括本人的銀行、經紀或任何信用調查機構,以查對此申請表所提供之資料。
- 2. I/We declare that I/we have the necessary power and authority to carry out the Agreement in all aspects without limitation.本人 / 吾等聲明本人 / 吾等擁有所需之能力和權力無限制地去執行本合約的各方面。
- 3. The natural person signing the Agreement at the place provided for signature of the Client as well as all persons (if any) signing the Agreement purportedly on behalf of the Client jointly and severally warrant that such signatory(ies) has/have full authority to enter into the Agreement on behalf of the Client and that the Agreement shall bind the Client as a corporation in all respect and shall indemnify and save the Broker harmless from all losses arising out of or in connection with the Agreement in the event of any breach of this warranty. 本合約內在客戶簽署之位置上簽署的人士或所有代表客戶簽署合約的人士,在此共同地和各別地保證該簽署人擁有所需權力去代表客戶簽署客戶合約,本合約將對公司客戶具約束力,如本保證被違反而經紀因本合約招致損失或遭受與本合約有關的損失,上述簽署人應彌償經紀並使其不受損害。
- 4. Any of the above mentioned authorized signer is hereby authorized individually, without counter-signature or co-signature to deal with the Broker on behalf of the Client and specifically but without limitation to the following: 任何上述之獲授權簽署者特此個別地獲得授權,在毋須加簽或同簽的情況下,代表客戶透過經紀進行交易,具體地包括但不限於下列各項:
 - to buy, sell and otherwise through the Broker deal in securities; 買賣證券或透過經紀以其他方式進行證券交易;
 - to receive on behalf of the Client demands, notices, confirmations, reports, statements of accounts and communications of every kind; 代表客戶收取各種要求書、通知、確認書、報告、賬戶結單和通訊;
 - to receive on behalf of the Client money, securities and property of every kind, and to dispose of the same; 代表客戶收取和 變賣款項、股票和任何財物;
 - to make on behalf of the Client any agreement relating to any of the foregoing matters and to terminate or modify the same or waive any of the provisions thereof; and 代表客戶就上述任何事宜作出任何協議,終止或修改該協議或免除其任何條款; 及
 - · generally to deal with the Broker on behalf of the Client. 代表客戶一般地與經紀進行交易。
- 5. I/We have read and accepted the terms and conditions of the Agreement relating to trading in securities. I/We confirm my/our understanding of the terms and conditions of the Agreement, the Risk Disclosure Statement as set out in the Agreement and the contents of the Agreement relating to trading in securities have been duly explained to me/us in a language that I/we understand. 本人/吾等已詳閱並同意本合約內有關證券買賣的條款及細則。本人/吾等確認本人/吾等明白本合約內的條款及細則,以及本合約列明的風險披露聲明書,而本合約中有關證券買賣的內容已按本人/吾等明白的語言向本人/吾等解釋清楚。
- 6. I/We declare that I/we have been advised to read the terms and conditions of the Agreement, the Risk Disclosure Statement and the Personal Data (Privacy) Ordinance Circular carefully, ask questions and take independent advice if I/we wish. 本人/吾等聲明本人/吾等已被建議詳細閱讀本合約的條款及細則、風險披露聲明書和個人資料(私隱)條例通告,並可據本人/吾等意欲提出問題或尋求獨立意見。
- 7. I/We have carefully considered the Risk Disclosure Statement and the Disclaimers, and I/we recognize that trading in securities involves a high degree of risk. Considering my/our financial position and investment objective, I/we confirm that I/we am/are financially able to assume such risks and to sustain any losses resulting from such trading and voluntarily confirm that trading in securities is a suitable trading vehicle for me/us. 本人/吾等已仔細考慮風險披露聲明書及免責聲明,及本人/吾等了解進行證券買賣所涉及之高風險。考慮到本人/吾等的財務狀況和投資目標,本人/吾等確認本人/吾等之財政能承擔該交易帶來之風險和承受其帶來之任何損失,亦自願確認證券買賣是一項對本人/吾等合適的買賣方式。
- 8. I/We understand and agree that the provisions of the terms and conditions of the Agreement and the Personal Data (Privacy) Ordinance Circular may be amended, supplemented or revised from time to time by the Broker by way of notice and I/we recognize that I/we may at any time ask for a copy of each of the up-to-date Agreement and Personal Data (Privacy) Ordinance Circular for perusal. 本人/吾等明白和同意,本合約的條款及細則和個人資料(私隱)條例通告可被經紀不時以通知方式作出變更、補充或修改,本人/吾等明瞭本人/吾等可隨時索取一份經過更新的本合約和個人資料(私隱)條例通告。

a certified true copy of which is attached hereto 已依據其董事會決議在此蓋章, 在此附上已經核證為真實的副本)	
)	
lame of Authorized Signatory 獲授權簽名人姓名)	
	_ ′_	Authorized Signature(s) with Company Chop
		授權簽名及公司印章
n the presence of 見證人)	
Name of Witness 見證人姓名)	
Name of Williess 元融入处石)	
Profession/Occupation 專業/職業	_ ′ _)	Signature of Witness
)	見證人簽署
Name of Company 公司名稱)	
	_)	
Company Address 公司地址)	
	_)	
Acknowledged and Accepted by Broker 經紀確認及接受)	
Aristo Securities Limited 雅利多證券有限公司)	
SIGNED BY 授權簽名人姓名)	
	_)	
		Authorized Signature(s) with Company Chop
		授權簽名及公司印章

9. I/We acknowledge and confirm that I/we must (i) observe any possible tax consequences and (ii) comply with any legal requirements and foreign exchange restrictions or exchange control requirements which might be applicable under the laws of the countries of my/our incorporation, citizenship, residence and/or domicile and which might be relevant to the purchase, holding or disposal of securities. 本人/吾等知悉及確認本人/吾等必須遵守本人/吾等登記註冊國、國籍國、居住國及/或居籍國的法

律之下可能適用的與購買、持有及沽售證券相關的 (i) 可能產生的任何稅務後果及 (ii) 法律規定及外匯限制或管制規定。

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*Note 備註: Witness should be a licensed or registered person, an affiliate of a licensed or registered person, a Justice of the Peace, or a professional person such as a branch manager of a bank, certified public accountant, lawyer or notary public.

見證人應為持牌或註冊人士、持牌或註冊人士的聯繫人士、太平紳士或專業人士,例如銀行分行經理、執業會計師、律師或公證人。

Client Declaration - Personal Information Collection Statement

客戶聲明 - 收集個人資料聲明

I/We, the undersigned, have read and understood the contents of the Personal Information Collection Statement ("PICS") of Aristo Securities Limited ("ARISTO"). I/We acknowledge receipt of a copy of the PICS and that the most up-to-date version of the PICS is available for download from ARISTO's website at http://www.aristo.hk or upon written request made to ARISTO's Data Protection Officer.

本人/吾等,下述簽署客戶/聯名客戶,已閱讀過及明白雅利多證券有限公司 ("雅利多證券") 的 <收集個人資料聲明>(「該聲明」)。本人/吾等確認及知悉最新版本的聲明可於雅利多證券之網站 http://www.aristo.hk 取覽或以書面方式向雅利多證券資料保護專員索取。

I/We hereby consent to the contents of the PICS	木 / 五竿塔从同套边截明的形方内索。
I/vve nereny consent to the contents of the PtC.S	

I/We hereby consent the use of my/our personal data by ARISTO in direct marketing for financial, securities, commodities,
derivatives, investment, financing, insurance, MPF/ORSO, wealth management, investor education and related services,
products and facilities, reward, loyalty or privileges programmes or donations and contributions for charitable and/or non-
profit making purposes.
本人/吾等 <u>同意</u> 雅利多證券使用本人/吾等的個人資料於直接促銷金融、證券、商品、衍生產品、投資、信貸、保險、強積金

而作出之捐款及捐贈。

I/We <u>do not consent</u> to the use of my/our personal data in direct marketing for financial, securities, commodities, derivatives, investment, financing, insurance, MPF/ORSO, wealth management, investor education and related

services, products and facilities, reward, loyalty or privileges programmes or donations and contributions for charitable and/or non-profit making purposes.

本人/吾等<u>不同意</u>雅利多證券使用本人/吾等的個人資料於直接促銷金融、證券、商品、衍生產品、投資、信貸、保險、強積金/職業退休計劃、財富管理、投資者教育及相關服務、產品及設施,獎賞、年資獎勵或優惠計劃或為慈善及/或非牟利目的而作出之捐款及捐贈。

Authorized Signature(s) with Company chop

授權簽名及公司蓋章

Date 日期

This document forms a part of the PICS. Terms used in this document shall have meanings as defined in the PICS. 本文件乃該聲明的一部份。在本文件中使用的詞彙的含義按該聲明的定義為準。

If subsequent to giving the above consent, a customer wishes to withdraw his/her consent, the customer may send written notification to ARISTO's Data Protection Officer by mail or fax to the address or fax number below. ARISTO shall then cease to use the customer's personal data in direct marketing without any charge.

如客戶在作出以上同意後,希望撤回同意,客戶可以書面方式通知雅利多證券資料保護專員,其地址及傳真號碼如下。此後,雅利多證券必須停止使用客戶的個人資料作直接促銷用途,費用全免。

The Data Protection Officer
Aristo Securities Limited

Room B, 11/F, Golden Star Building, 22 Lockhart Road, Wan Chai, Hong Kong

Tel: (852) 3622 1770 Fax: (852) 3622 1488 資料保護專員

雅利多證券有限公司

香港灣仔駱克道 22 號金星大廈 11 樓 B 室

電話: (852) 3622 1770 傳真: (852) 3622 1488

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